

Information and Instructions for Prequalification of Bidders

Under the provisions of RCW 47.28.070 et seq. any person, firm, or corporation desiring to bid upon any construction or improvement of any state highway for the Department of Transportation is first required to execute and file with the Secretary of Transportation, a fully completed Standard Questionnaire and Financial Statement (DOT Form 420-010) and be prequalified before a proposal form can be furnished.

The laws of the State of Washington require that an out-of-state corporation secure authority from the Secretary of State to transact business in the State of Washington. Accordingly, before the state can enter into a contract with an out-of-state or foreign corporation, such corporation must comply with Washington's corporation laws. Information and application blanks may be obtained from:

**Office of the Secretary of State
PO Box 40220
Olympia WA 98504-0220**

A photocopy of the above mentioned Certificate of Authority from the Secretary of State (Washington) must accompany this questionnaire.

Those contractors seeking prequalification in electrical classifications of work (class 9 and class 16) must provide photocopies of current State Electrical license.

It is suggested that your firm contact the Business and Professions Division to assure that all requirements for doing business in Washington State have been fulfilled. General licensing requirements information and forms are furnished by:

**Department of Licensing - Business & Professions Division
PO Box 49034
Olympia WA 98507-9034
Telephone: (360) 664-1400**

Joint Ventures for Prequalification

The Department of Transportation recognizes two distinct types of joint ventures, for bidding (Prequalification), classified as follows:

1. **Continuing Joint Venture:** An association of two more firms formed for the purpose of submitting joint bids for projects to be let over a period of time.
2. **Individual Project Joint Venture:** An association of two more prequalified firms formed for the specific purpose of submitting a joint bid on a specific project.

Prequalification of Individual Project Joint Ventures

The bids of individual project joint ventures will be accepted provided all members of the joint venture are currently prequalified. They must execute and file with the Secretary of Transportation, subject to approval, a standard form of "Individual Project Statement of Joint Venture," (DOT Form 410-009) setting forth the name of the joint venture, the members of the joint venture, the title of the improvement and the names of those authorized to bind the joint venture. (Corporate minutes authorizing a joint venture must accompany the joint venture for prequalification).

Individual Project Statement of Joint Venture Forms (DOT Form 410-009) are available on request from the Pre-Contract Administration at (360) 705-7837.

Prequalification of Continuing Joint Ventures

The Bids of Continuing Joint Ventures will be accepted if prequalification has been satisfactorily established by the following method:

A Standard Questionnaire and Financial Statement combining the assets and liabilities of all members of the venture shall be submitted in the name of Joint Venture, together with such other supporting documents as listed below:

A photostatic or certified copy of the Joint Venture Agreement shall be furnished. It shall contain a provision which will unequivocally bind the parties, jointly, and severally, to any joint venture entered into thereunder. It shall also specify the name under which the Joint Venture will operate and the name of those authorized to sign proposals, bonds, contracts, estimates, and other documents and/or instruments in connection with the Department of Transportation's contracts. Since some Joint Ventures may present unique problems, the foregoing will not necessarily be sufficient in all cases. Corporate minutes authorizing a joint venture must accompany the joint venture requests for prequalification.

Execution of Continuing Joint Venture Agreement

Members of a Continuing Joint Venture will be considered bound to it through the following applicable procedures:

- Individual:** Signature to the Joint Venture Agreement in the firm name under which he is doing business.
- Co-Partnership:** The signature of all partners, general and limited, under the firm name, to the Joint Venture Agreement.
- Corporation:** The signature of the authorized officer of the corporation with the corporate seal affixed. A certified copy of the resolution of the board of directors adopting the Joint Venture and authorizing the signatory to enter into a Joint Venture Agreement on behalf of the corporation shall accompany the agreement. If the resolution is made at a special meeting of the board of directors, a certified copy of the notice of the meeting or a waiver thereof shall also be furnished.

Procurement of Plans and Proposals

All requests for plans and proposal forms should be directed to the Pre-Contract Administration Branch, Department of Transportation, P O Box 47360, Olympia, WA 98504-47360, (360) 705-7836. Bids submitted from a firm without proper prequalification will not be accepted.

Reduced plans (12" x 18") and an "Informational" copy of the proposal, which cannot be used for bidding purposes, will be furnished to all applicants upon receipt of the fee as set forth in the Notice to Contractors. Proposal forms for bidding will be furnished to an applicant only if prequalified in the proper amount and class of work.

CAUTION

The proposal form furnished to a prospective bidder is not transferrable and may be considered irregular if the name entered thereon is altered in any manner without first receiving permission. Correspondence and inquiries should be directed to the Manager, Pre-Contract Administration Branch.

Pre-Contract Administration
Department of Transportation
310 Maple Park Avenue SE
PO BOX 47360
Olympia, WA 98504-7360

360-705-7837 / Fax 360-705-6966
Internet: walkeke@wsdot.wa.gov

Supplemental Questionnaire

Submission Date

Supplemental to Standard Questionnaire and Financial Statement (DOT 420-010, Revised 8/2004)

Please type all information

<p>Firm Name and Address as Currently Prequalified</p>	<p>Make any necessary changes in Firm Name, Street or Mailing Address in the space provided below.</p>
<p>Federal ID Number</p>	<p>Telephone (Include Area Code)</p> <p>Facsimile (Include Area Code)</p> <p>E-Mail</p>

Supplemental Questionnaire

(DOT Form 420-011, Revised 8/2004)

A bidder who has a Standard Questionnaire and Financial Statement (DOT Form 420-010) on file with the Department of Transportation will be required to renew prequalification annually by filing any amendatory information through the submission of a Supplemental Questionnaire. In the event a contractor, during the period of a year, should have a change in the structure of the firm, e.g. officer, ownership, incorporation, etc., or when required by the department, shall submit a Supplemental Questionnaire.

WAC 468-16-090 specifies that for a firm showing a net worth in excess of one hundred thousand dollars (\$100,000), the applicant must provide, with the questionnaire, a copy of its financial statement as audited or reviewed for its last fiscal year, prepared in accordance with the standards of the American Institute of Certified Public Accountants. The statement must be prepared by an independent certified public accountant registered and licensed under the laws of any state. Balance sheets, income statements, a statement of retained earnings, supporting schedules and notes, and the opinion of the independent auditor must accompany the financial statement.

Period Prequalification

The information contained in the Supplemental Questionnaire is used to renew the basic rating on an annual basis and the firm will be so notified annually as to their bidding status for the ensuing year. The bidding rate may be renewed annually, effective March 31, June 30, September 30, or December 31 as outlined in WAC 468-16-090.

Since the submission of the Standard Questionnaire and Financial Statement and/or Supplemental Questionnaire now on file in this office:

1. Have there been any additions or reductions in the staff of your supervisory personnel?

☐ Yes ☐ No

If Yes, complete the following:

Additional Supervisory Personnel Employed				
Individual's Name	Present Position or Office	Years of Construction Experience	Magnitude and Type of Work	In What Capacity

Reductions in Staff of Supervisory Personnel				
Individual's Name	Present Position or Office	Years of Construction Experience	Magnitude and Type of Work	In What Capacity

2. Have there been any significant additions or deletions to the equipment listed?

☐ Yes ☐ No

If Yes, complete the following:

Equipment Additions				
Quantity	Description and Capacity of Items	Date of Manufacture	Applicant's Purchase Price	Book Value

Equipment Deletions				
Quantity	Description and Capacity of Items	Date of Manufacture	Applicant's Purchase Price	Book Value

Schedules may be attached if more space is needed

Fiscal Information

3. End of Applicant's Fiscal Year (Month, Day)

4. Date of Year End Financial Statement (Month, Day, Year)

As of the above date, the firm's total assets, liabilities, and net worth are as follows:

Total Tangible Assets

Total Liabilities

Net Worth

\$ _____

\$ _____

\$ _____

5. Additional Financial Resource(s) (i.e., Bank Line of Credit, Parent Firm Guarantee, Personal Pledge of Net Worth, etc.) Any additional financial resources shall have a notarized letter to document the Pledge/Guarantee. Required information within the letter is: The dollar amount, Purpose of the Pledge/Guarantee, and a termination date for the Pledge Guarantee.

6. Is the Prequalification issued to you satisfactory as it pertains to Classes of Work?

☐ Yes ☐ No

If No, List below the additional class or classes of work for which you feel you are equipped and qualified to perform and furnish supporting data for your proposed changes. (*Supporting data is experience, equipment, projects completed with names, Mailing Address, Fax, and Telephone Numbers to verify the work*) (Attach additional sheets if necessary)

Additional Classes

Corporation

If a corporation, complete this section

Co-Partnership or Joint Venture

If a Co-Partnership or Joint Venture, complete this section

When Incorporated

In What State?

Date of Organization

President's Name

State whether General, Limited, or Association

Vice President's Name

Secretary's Name

State whether there is any limitation on duration of Co-Partnership or Joint Venture?

Treasurer's Name

If Out-of-State Corporation, have you complied with Washington's Corporation Laws?

☐ Yes ☐ No

Authorized Signatures

List the name and Title of those individuals in your organization who are authorized to execute proposals, contracts, bonds, and other documents and/or instruments on behalf of the organization. Specify if more than one signature is required.

The Signature MUST appear next to name.

Name (Typed)

Signature

Title

Non-Collusion

In order for your application for Prequalification to be considered, it is necessary to furnish the following information:

1. Has your firm ever been indicted, pled guilty, pled nolo contendere (no contest), or been convicted of any offense that has resulted in your firm being barred from bidding or performing work for any State, Local, or Federal Government? ☐ Yes ☐ No
2. Has any officer, employee, or other member of your firm ever been indicted, pled guilty, pled nolo contendere, or been convicted of any illegal restraints of trade, including collusive bidding?
If Yes, attach separate sheet(s) to this form giving details involved, the names of the individuals and their current employment status with your firm. ☐ Yes ☐ No
3. Has your firm or any officer, employee, or member of your firm ever been debarred for violation of various Public Contract Acts incorporating Labor Standards Provision?
If Yes, attach separate sheet(s) to this form giving details involved. ☐ Yes ☐ No
4. Is your firm under the protection of the bankruptcy court, have pending any petition in bankruptcy court, or have you made an assignment for the benefit of creditors? ☐ Yes ☐ No

Execution of the Affidavit

Individual: Signature of the individual in the firm name under which business is conducted.

Co-Partnership: The signature of all partners, general and limited under the firm name, or the signature of their Attorney in Fact.

Joint Venture: Signatures of an authorized representative of each party to the joint venture. Corporate members of a joint venture shall also affix their corporate seal.

Corporation: The signature of the authorized officer(s) of the corporation with corporate seal affixed.

Affidavit

Type of Organization (Individual, Co-Partnership, Joint Venture, or Corporation)

State of _____

County of _____

} SS

The undersigned, being duly sworn, deposes and says that the foregoing is a true statement of facts concerning the individual, corporation, co-partnership, or joint venture herein named, as of the date indicated; that the financial condition of said firm has not decreased since the submission of the Standard Questionnaire and Financial Statement now on file in the offices of the Washington State Transportation Commission; that the answers to the foregoing interrogatories are true; that this statement is for the express purpose of inducing the Washington State Transportation Commission to award the said firm or individual a contract; and that any depository, vendor or other agency named in the aforementioned Standard Questionnaire and Financial Statement is hereby authorized to supply the Washington State Transportation Commission or its agent with any information necessary to verify this statement.

Name of Firm (As registered with Washington State Department of Licensing): _____

Authorized Signature

Authorized Signature

Authorized Signature

Authorized Signature

Sworn to before me this _____ day of _____, _____

Notary Public _____

Corporate Seal

Notary Seal

Prequalification Work Classes

- | | | | |
|--|---|--|---|
| <input type="checkbox"/> <i>Class 1</i> | Clearing, Grubbing, Grading and Draining
Removal of tree stumps, shrubs, modification of the ground surface by cuts and fills, excavating of earth materials, and the placement of draining structures. | <input type="checkbox"/> <i>Class 16</i> | Illumination and General Electric
Highway illumination, navigational lighting, wiring, junction boxes, conduit installation. |
| <input type="checkbox"/> <i>Class 2</i> | Production and Placing of Crushed Materials
Production and placing crushed surfacing materials and gravel. | <input type="checkbox"/> <i>Class 17</i> | Cement Concrete Curb and Gutter
Sidewalks, spillways, driveways, monument cases and covers, right-of-way markers, traffic curbs, and gutters. |
| <input type="checkbox"/> <i>Class 3</i> | Bituminous Surface Treatment
Placing of crushed materials with asphaltic application. | <input type="checkbox"/> <i>Class 18</i> | Asphalt Concrete Curb and Gutter
Sidewalks, spillways, driveways, monument cases and covers, right-of-way markers, traffic curbs, and gutters. |
| <input type="checkbox"/> <i>Class 4</i> | Asphalt Concrete Paving
Production and placing Asphalt Concrete Plant Mix Pavement. | <input type="checkbox"/> <i>Class 19</i> | Riprap and Rock Walls
Mortar, rubble, and masonry walls; rock retaining walls, and placing of large broken stone on earth surfaces for protection against the action of water. |
| <input type="checkbox"/> <i>Class 5</i> | Cement Concrete Paving
Production and placing cement concrete pavement. | <input type="checkbox"/> <i>Class 20</i> | Concrete Structures Except Bridges
Cast-in place median barrier, prestressing, post-tensioned structures, footings, prefabricated panels and walls, retaining walls, and ramps, foundations, and concrete slope protection. |
| <input type="checkbox"/> <i>Class 6</i> | Bridges and Structures
Construction of bridges, walls, and other major structures of timber, steel, and concrete. | <input type="checkbox"/> <i>Class 21</i> | Tunnels and Shaft Excavation
Tunnel excavation, rock tunneling, and soft bore tunneling. |
| <input type="checkbox"/> <i>Class 7</i> | Buildings
Construction of buildings and related structures within the right-of-way and major reconstruction and remodeling of such buildings. | <input type="checkbox"/> <i>Class 22</i> | Piledriving
Driving concrete, steel, and timber piles. |
| <input type="checkbox"/> <i>Class 8</i> | Painting
Painting bridges, buildings, and related structures. | <input type="checkbox"/> <i>Class 23</i> | Concrete Surface Treatment
Exposed aggregate, fractured-in and rope textured finishes; waterproofing concrete surfaces (clear or pigmented sealer). |
| <input type="checkbox"/> <i>Class 9</i> | Traffic Signals
Installation of traffic signal and control systems. | <input type="checkbox"/> <i>Class 24</i> | Fencing
Wire and metal fencing, glare screens. |
| <input type="checkbox"/> <i>Class 10</i> | Structural Tile Cleaning
Cleaning tunnels, large buildings and structures and storage tanks. | <input type="checkbox"/> <i>Class 25</i> | Bridge Deck Repair
Bridge expansion joint repair and modification, bridge deck resurfacing and repair. |
| <input type="checkbox"/> <i>Class 11</i> | Guardrail
Construction of a rail secured to uprights and erected as a barrier between, or beside lanes of a highway. | <input type="checkbox"/> <i>Class 26</i> | Deck Seal
Waterproof membrane. |
| <input type="checkbox"/> <i>Class 12</i> | Pavement Marking (Excluding Painting)
Thermoplastic markings, stripes, bars, symbols, etc. Traffic buttons, lane markers, guide posts. | <input type="checkbox"/> <i>Class 27</i> | Signing
Sign structures and signs. |
| <input type="checkbox"/> <i>Class 13</i> | Demolition
Removal of timber, steel, and concrete structures and obstructions. | <input type="checkbox"/> <i>Class 28</i> | Not used |
| <input type="checkbox"/> <i>Class 14</i> | Drilling and Blasting
Controlled blasting of rock and obstructions by means of explosives. | <input type="checkbox"/> <i>Class 29</i> | Slurry Diaphragm and Cut-Off Walls
Slurry excavation and the construction of structural concrete walls and slurry cut-off walls. |
| <input type="checkbox"/> <i>Class 15</i> | Sewers and Water Mains
Draining, pipe jacking, water systems, pumping stations, storm drainage systems, sewer rehabilitation, sewage pumping stations, pressurized lines. | <input type="checkbox"/> <i>Class 30</i> | Surveying
Highway construction surveying. |
| | | <input type="checkbox"/> <i>Class 31</i> | Water Distribution and Irrigation
Irrigation systems and heavy duty water distribution. |

- ☐ **Class 32 Landscaping**
Landscaping irrigation, planting, sodding, seeding, fertilizing, mulching, herbicide application, insecticide application, weed control, mowing, liming, soil binder, topsoil.
- ☐ **Class 33 Engineering**
Work other than surveying, including engineering calculations, drawing and other related work for highway construction.
- ☐ **Class 34 Erosion Control**
Seeding, fertilizing, mulching, slope protection, topsoil application, hydroseeding, soil stabilization, soil sampling.
- ☐ **Class 35 Precast Median Barrier**
A concrete barrier that is cast and cured in other than its final position used to divide the median of two adjacent highways or temporarily placed to divert traffic in construction zones.
- ☐ **Class 36 Permanent Tie-Back Anchor**
Installation of permanent rock and soil anchors, soldier piles and timber lagging. Soldier pile tie-back anchor wall construction.
- ☐ **Class 37 Impact Attenuators**
Installation of approved protective systems filled with sand, water, foam, or other substances which prevent errant vehicles from impacting roadside hazards.
- ☐ **Class 38 Paint Striping**
Painting bars, letters, symbols, and striping.
- ☐ **Class 39 Wire Mesh Slope Protection**
The installation of a zinc-coated steel wire mesh anchored by wire rope and reinforced concrete posts or anchor rods. Used for dampening the effects of rolling rocks onto the highway. Slope scaling, horizontal drains, rock dowels, and rock bolts for slope stabilization.
- ☐ **Class 40 Gabion and Gabion Construction**
Construction of walls made with containers of galvanized steel hexagonal wire mesh and filled with stone.
- ☐ **Class 41 Intelligent Transportation Systems (ITS)**
Traffic Sensors Systems, Highway Advisory Radios, Environmental Sensing Stations, Variable Message Signs, Non-Fiber Optic Based Closed Circuit Television and Video Systems.
- ☐ **Class 42 Electronics-Fiber Optic Based Communications Systems**
Design and installation of fiber optic based communication systems.
- ☐ **Class 43 Mechanical**
Plumbing work and the installation of heating or air conditioning units.
- ☐ **Class 44 Asbestos Abatements**
Asbestos Abatement (L & I Certified Workers).
- ☐ **Class 45 Hazardous Waste Removal**
The containment, cleanup, and disposal of toxic materials. Companies seeking this classification shall have full-time personnel with current hazardous waste training (certification).
- ☐ **Class 46 Concrete Restoration**
Pavement subseal, cement concrete repair, epoxy coatings, epoxy repair, masonry repair, masonry cleaning, special coatings, epoxy injection, gunite, shotcrete grouting, pavement jacking, gunite repair, and pressure grouting.
- ☐ **Class 47 Concrete Sawing, Coring, and Grooving**
Concrete sawing, concrete planning and grooving, bump grinding, joint repair, concrete coring, rumble strip.
- ☐ **Class 48 Dredging**
Excavating underwater materials.
- ☐ **Class 49 Marine Work**
Underwater surveillance, testing, repair, subaquatic construction, anchors, and cable replacement, floating concrete pontoon repairs and modifications, disassembly and assembly of floating concrete pontoons.
- ☐ **Class 50 Ground Modification**
Pressure Grouting, blast densification, stone column, jet grouting, compaction, dynamic compaction, soil mixing, gravel drain.
- ☐ **Class 51 Well Drilling**
Drilling wells, installing pipe casing and pumping stations.
- ☐ **Class 52 Sewage Disposal**
Hauling and disposing liquid and solid wastes.
- ☐ **Class 53 Traffic Control**
Providing piloted traffic control, traffic control labor, and maintenance and protection of traffic.
- ☐ **Class 54 Railroad Construction**
Construction of railroad subgrade, placing of ballast, ties, and track and other items related to railroad work.
- ☐ **Class 55 Steel Fabrication**
Welding of steel members, heat straightening steel.
- ☐ **Class 56 Street Cleaning**
Street sweeping with self-propelled sweeping equipment.
- ☐ **Class 57 Materials Transporting**
Truck hauling.
- ☐ **Class 58 Sand Blasting and Steam Cleaning**
Steam cleaning, sand blasting, shot blasting, and water blasting.

Small Works Roster Supplemental for Contractors Interested in Being Placed on a Small Works Roster

A. Place _____ on the Small Works Rosters for

(Enter name of applicant or firm)

the work class(es) as indicated on the attached Prequalification Work Classes sheet.

B. Indicate each County the firm is interested in bidding for work. Mark all counties you are requesting consideration below.

Authorized Signature		
Name	Title	Signature

Please consider carefully where you are willing to work since you will be considered only for locations that you check.

- A contractor may be denied placement on or, after such placement, may be removed from a Small Works Roster if the contractor fails to respond to five solicitations for bids on jobs offered through the Small Works Roster.
- At least one county designation must be marked for work you are willing to accept on the Small Works Roster.
- To change your designation on the Small Works Roster, please call Contract Ad and Award Office at 360-705-7837.



- | | | | | |
|--------------------------------------|--|---------------------------------------|--|---|
| <input type="checkbox"/> 01 Adams | <input type="checkbox"/> 09 Douglas | <input type="checkbox"/> 17 King | <input type="checkbox"/> 25 Pacific | <input type="checkbox"/> 33 Stevens |
| <input type="checkbox"/> 02 Asotin | <input type="checkbox"/> 10 Ferry | <input type="checkbox"/> 18 Kitsap | <input type="checkbox"/> 26 Pend Oreille | <input type="checkbox"/> 34 Thurston |
| <input type="checkbox"/> 03 Benton | <input type="checkbox"/> 11 Franklin | <input type="checkbox"/> 19 Kittitas | <input type="checkbox"/> 27 Pierce | <input type="checkbox"/> 35 Wahkiakum |
| <input type="checkbox"/> 04 Chelan | <input type="checkbox"/> 12 Garfield | <input type="checkbox"/> 20 Klickitat | <input type="checkbox"/> 28 San Juan | <input type="checkbox"/> 36 Walla Walla |
| <input type="checkbox"/> 05 Clallam | <input type="checkbox"/> 13 Grant | <input type="checkbox"/> 21 Lewis | <input type="checkbox"/> 29 Skagit | <input type="checkbox"/> 37 Whatcom |
| <input type="checkbox"/> 06 Clark | <input type="checkbox"/> 14 Grays Harbor | <input type="checkbox"/> 22 Lincoln | <input type="checkbox"/> 30 Skamania | <input type="checkbox"/> 38 Whitman |
| <input type="checkbox"/> 07 Columbia | <input type="checkbox"/> 15 Island | <input type="checkbox"/> 23 Mason | <input type="checkbox"/> 31 Snohomish | <input type="checkbox"/> 39 Yakima |
| <input type="checkbox"/> 08 Cowlitz | <input type="checkbox"/> 16 Jefferson | <input type="checkbox"/> 24 Okanogan | <input type="checkbox"/> 32 Spokane | |